COMPT 77-1668

5 DEC 1977

Executive Registry

77-2846/2

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15 NOV 77

MEMORANDUM FOR: Director of Central Intelligence

VIA: Acting Deputy Director of Central Intelligence

FROM: James H. Taylor
                              Secretary, Executive Advisory Group

SUBJECT: Recommendation to the Director from the
                              Federal Women's Program Board

REFERENCE: Memo to Compt fr D/ES dtd 15 Nov 77,
                              Same Subject

1.   At a 9 November 1977 meeting with you, the Federal Women's Program Board recommended that the Executive Advisory Group (EAG) communicate to CIA employees the actions it has taken on problem areas identified in the July 1976 Agency-wide personnel survey.

2.   In response to that recommendation, the Office of Personnel intends to publish, before the end of January 1978, an Employee Notice which will communicate the several EAG and other management actions taken to improve personnel policies and procedures in CIA during the past year. I hope this will meet the request.

STAT

James H. Taylor

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15 November 1977

MEMORANDUM FOR: Acting Deputy Director for Administration

VIA   : Acting DDCI

SUBJECT   : Recommendations to the Director from
                 the Federal Women's Program Board

1. During its 9 November meeting with the Director, the Federal Women's Program Board made several recommendations relating to personnel management. Please have these suggestions reviewed for the Director and advise him by 19 December if and how these recommendations could be implemented:

> --The Director should publicize the criteria for being included on the Executive Development Roster (EDR), look into the Civil Service Commission profile for developing an Executive Developmental Program (see attached), and ensure that managers use the EDR for making selections for key assignments.

> --The Director should task an existent advisory body or an ad hoc task group with enumerating the pros and cons of developing a centralized career system and making a conclusive statement on its feasibility. The group should start with the findings of studies already done on the subject.

> --The Director should establish a DCI Task Force chaired by the Federal Women's Program Board and including representatives from the Office of Personnel, career management officers, and the clerical ranks, to examine the studies and surveys conducted to date addressing the career development problems of clericals and by April 1978 make recommendations on workable solutions acceptable to management and secretaries/clericals.

STAT

P/. 2   Deputy Executive Secretary

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Attachment:
    As stated

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UNITED STATES CIVIL SERVICE COMMISSION

FEDERAL PERSONNEL MANUAL SYSTEM

LETTER

Washington, D.C. 20415

FPM LETTER NO. 412-3   October 21, 1977

SUBJECT: Selecting Participants for Executive Development Programs

Heads of Departments and Independent Establishments:

This Letter modifies paragraph 2.c on page 4 of FPM Letter No. 412-2 but does not rescind that FPM Letter.

1. Background. Among other things, FPM Letter 412-2 of January 29, 1974, requires agencies to set up formal systems for the identification of employees who have high potential for successful performance in managerial positions. The details of such formal identification systems were not prescribed. However, attention was called to the Commission publication, Considerations in the Identification of Managerial Potential (EMMTAP No. 1, August 1973), which provides general information on a wide-range of identification methods and points out some of the advantages and disadvantages of each. In light of our experience since FPM Letter 412-2 was issued, we believe there is need for additional guidance on the subject.

2. Purpose. The purpose of this letter is to:

    a. Clarify the requirement for agency action to systematically select highly qualified candidates for executive development programs and explain the basis for this requirement;

    b. Help agencies determine the point at which participants for executive development programs should be identified;

    c. Help agencies establish executive development programs which are fully compatible with merit principles;

    d. Provide guidance on making executive development program selection processes fully consistent with FPM Letter 300-22, "Federal Executive Agency Guidelines on Employee Selection Procedures", dated January 19, 1977; and

    e. Stress the importance of executive development systems in the Government-wide effort to fully utilize the talents of women and minorities.

INQUIRIES: Bureau of Executive Personnel, Area Code 202-632-4661

CSC CODE   412 – Executive Development

DISTRIBUTION: FPM

3.   Definitions.   For purposes of this FPM Letter only, the following
definitions are applicable:

a.   Managerial Position.   Managerial positions are those in which
incumbents (1) direct the work of an organization, (2) are
held accountable for the success of specific line or staff
programs, projects, functions, or activities, (3) monitor the
progress of the organization toward goals and periodically
evaluate and make appropriate adjustments, and (4) typically
perform the full range of managerial duties listed in Attach-
ment 1 to this letter.

b.   Executive Position.   Executive positions are high-level manage-
rial positions normally classified at or above the GS-16 or
equivalent level.   However, there are certain managerial posi-
tions at the GS-15 or equivalent level which agencies may
determine to be "executive" by virtue of the high level of
responsibility inherent in the position.   In addition to the
duties and responsibilities normally identified as managerial
in nature, executives have a significant role in shaping
overall program policy and monitoring the effectiveness with
which subordinate managers shape their programs and goals to
conform with agency policy.   Executives have leadership respon-
sibilities which include setting the climate and tone of an
organization, initiating changes in organizational philosophy
and generating advances in the state of the managerial art.

4.   Programs to develop executives must be selective.

a.   Experience in the public and private sector indicates that it
is possible to systematically provide opportunities for indi-
viduals to acquire or develop knowledges and abilities required
for effective executive performance.   Since only about one GS-
15 manager in four will ever reach GS-16 (and the ratio is, of
course, much less favorable for those below GS-15), it would
be prohibitively expensive to develop all managers to undertake
executive responsibilities.   It follows that an equitable
performance-related system is needed to select those who will
benefit most, and can benefit the Government most, as a result
of such development.

b.   In some occupational areas, the first full managerial positions
are found at grade GS-14, GS-13, or below.   All incumbents of
such positions should be given opportunities to develop their
managerial capabilities in accordance with Individual Develop-
ment Plans (IDP's).   IDP's for many of these managers should
focus on improving their performance in the current position
or preparing them for a managerial position at the next higher
level of responsibility.   In the case of those managers whose
excellent performance indicates potential for undertaking
executive responsibilities, IDP's should focus on developmen-
tal experiences to prepare them for executive responsibilities.

c. Review of current practice in filling recently established career executive positions with broad managerial responsibilities indicates that many of these individuals rose to grade GS-15 in a series of nonmanagerial positions in relatively narrow occupational specialties. While such a career pattern may provide a core of professional or technical knowledge which is essential to successful performance in a particular executive position, it usually does not provide sufficient opportunity to develop the full managerial qualifications which are also required. Although remedial action could be taken after a specialist is appointed to an executive position, this is rarely practicable. The new executive initially spends a large portion of his or her time mastering the rigorous responsibilities of the new job, thus making it difficult to arrange for extensive off-the-job developmental activities. However, fewer than one GS-15 specialist in five will ever be promoted to an executive position. It would, once again, be an unwise use of limited financial resources, therefore, to provide intensive executive development opportunities for all specialists. Hence, a method is needed to identify those specialists who are likely to become executives and to intensively expand their managerial knowledges and abilities before they undertake executive positions.

5. Establishing the selection system.

    a. An agency must systematically select employees to participate in its executive development programs in sufficient numbers to meet its future needs. (General guidance and requirements for such programs are contained in FPM Letter 412-2.) The selection system shall be designed to identify employees whose work performance (and objectively evaluated behavior on assessment measures validated for the purpose, where available and appropriate) indicates that they could with appropriate work experience and training be successful as executives. Agencies shall consider all employees who constitute the logical feeder group for the target positions. Employees who are not selected for executive development programs shall be fully eligible for consideration for future programs. (Specialized agencies which traditionally have obtained a very large percentage of their career executives from outside Government and which have sound program reasons for continuing this practice may request a partial or complete exemption from this requirement. Such requests should be submitted to the Director, Bureau of Executive Personnel, U.S. Civil Service Commission, 1900 E Street, NW., Washington, D.C. 20415.)

    b. Agency systems for selecting participants for executive development programs shall be conducted in an open manner consistent with merit principles. Evaluation of an individual's capabilities in relation to the target positions and apparent capacity

for development shall be recorded and available for his or her review. Since this information must be reflected on Individual Development Plans, agencies may wish to use these plans as the record. When assessment devices are used, employees must be informed as to the general results of the assessment.

c. Participation in an agency executive development program shall be reviewed on a regular basis. Quarterly reviews are generally recommended. Such reviews shall focus particular attention upon (1) the quality of a participant's performance of activities which are characteristic of some of the agency's target executive positions, (2) demonstrated growth in knowledges and abilities required in the target executive positions, and (3) the degree to which developmental objectives specified in Individual Development Plans are being achieved. If an individual does not continue to demonstrate a high level of performance and motivation, the agency shall analyze the situation and determine whether the fualt lies with the participant. In some cases, it may be necessary to remove the individual from the executive development program and from any activities reserved for program participants.

d. Executive development systems must in all their elements reflect an affirmative posture on equal employment opportunity. Identification, selection, and development of minorities and women for executive positions is a major challenge many agencies still face. Properly designed selection systems can help agencies meet this challenge and facilitate utilization of the full potential of all agency employees, without regard to race, sex, age, physical handicaps or other factors not related to performance capabilities. Agencies must ensure that their executive development policies, procedures, and operations provide for the proper consideration of eligible candidates for executive development programs from all sources. Since past employment practices may have placed a disproportionate number of women and minority employees in specialist as opposed to supervisory and managerial positions, particular care should be taken that selection systems do not focus solely upon occupationally well rounded employees but also consider highly talented and effective specialists.

6. Making selection systems fully compatible with merit principles.

a. Certain benefits in the form of higher visibility, prestige, and increased likelihood of promotion may accrue to an individual as a result of his or her participation in an executive development program. It is therefore essential that, to the maximum degree possible, the selection process be valid, objective and based on adequate job analysis. It must focus in particular upon employee work performance in duties which are related to some of the requirements of one or more of the agency's executive positions. While no selection process can unerringly predict future behavior, it is just as necessary to use valid procedures and follow merit principles in making

selections for executive development as it is in making
selections for promotion.1

b. A merit-based competitive process for selecting participants
for an executive development program must be:

(1) Understood by Affected Employees. The first requirement
in a merit-based approach to selection for an executive
development program is that it be conducted in an open
and aboveboard manner. The fact that the selection
process is going on should be well publicized and any
employee who might be affected by it should have access
to a detailed description of the process (including the
selection criteria). The names of those selected for an
executive development program should be made public
within the agency.

(2) Consistent. The selection system shall be designed so
that consistent standards are applied in the evaluation
of all candidates. Selection criteria must be known to
all concerned.

(3) Performance Related. To the degree possible, candidates
for executive development programs should be evaluated on
the basis of their effectiveness in performing functions
and achieving objectives associated with the demands of
the agency's target executive positions. Proven perform-
ance of tasks which are important in the target positions
is the most reliable and valid of all selection criteria.

(4) Self-Correcting. For a variety of reasons, some indivi-
duals who are placed in executive development programs
will fail to perform at the high level expected. Simi-
larly, individuals who are passed over when considered
for executive development programs may later demonstrate
by their performance that they should be included. A
review mechanism is needed to ensure that these situations
are analyzed and that changes in work performance are
taken into consideration.

(5) Open to Self-Nomination. It would be possible to operate
an equitable selection process without self-nomination.
However, ours is an open competitive merit system. The
spirit of that system is best reflected in a competitive
selection process which allows those who are highly moti-
vated to become executives to nominate themselves. How-
ever, the nomination process should not preclude manage-
ment from nominating individuals who fail to nominate
themselves.

(6) Related to Projected Needs. The number of participants
selected for executive development programs should be
related to the projected future needs of the agency for
executives. This does not mean, however, that the agency
should include in its executive development program only

1See FPM Letter 300-22, January 19, 1977

that number of employees who would just meet the projected needs. Ideally a number of employees should be developed for a group of positions with similar basic requirements. When unique positions are involved, several individuals normally should be developed.

(7) Related to Selection. The relationship of the executive development program to the agency's merit promotion program should be clearly stated in appropriate internal program directives or procedures manuals. The Executive Resources Board(s) which oversee selection for career executive positions should also oversee selection for executive development programs.

7. Determining Time of Selection.

a. Each agency must establish for itself the point or points at which individuals are selected for executive development. There is no single point which is universally applicable. The optimum point varies according to (1) type and number of target positions, (2) projected agency needs to fill target positions, and (3) the design of the agency's executive development program. The cardinal rule is that selection must take place sufficiently early to permit systematic and adequate development by the time the individuals are within consideration for target positions. In occupational areas in which the first full managerial position is found at GS-14 or below, it is normally sufficient to identify individuals for managerial development as they progress through the management hierarchy. That is, they can be developed for each successive level of responsibility just prior to assumption of the new responsibility. By the time that they are being considered for executive positions, they should already have a solid foundation of managerial experience on which they can readily build their executive capabilities. On the other hand, in occupations where the first full managerial position is found at GS-15 or above, the incremental approach cannot be relied upon to identify and prepare executives fully capable of functioning as such.

b. In order to select participants at the optimum time, the agency must:

(1) Specify the target positions in the agency. These will include most positions at the supergrade level except those with no significant managerial responsibilities, and may include some positions at the GS-15 level.

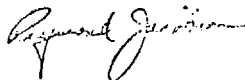(2) Determine the requirements of these positions and treat as a group those with similar requirements.

(3) Estimate the projected numbers needed to fill these positions in the near future and for several years to come, in light of projected turnover and program plans.

(4) Determine the time frame over which the executive development activities will take place. This may vary considerably from agency to agency and among occupational areas within an agency. It will depend upon vacancy projections, characteristics of the population to be developed and the requirements of the target positions.

(5) Ascertain as far as possible typical career patterns of those who have filled these positions in the past and judge whether these patterns are likely to hold true in the future; e.g., a certain group of scientific executive positions have been typically filled by individuals who have spent three years at grade GS-13 and four years at GS-14 as journeymen and who have been in a GS-15 supervisory position for about four years; or certain line executive positions tend to be filled by individuals who became first-level supervisors at GS-12, and who spent four years in first-level managerial positions at GS-13, two years as GS-14 managers, and two years as GS-15 managers.

(6) From the career pattern information and the time frame established for the executive development program, select the point at which identification can best take place among different groups of employees; e.g., in the examples cited above, assuming that the agency wishes to provide executive development activities over a three-year time frame to those without managerial experience and over a one-year period for managers, both the scientist executives and the line executives should probably be designated for executive development at the GS-15 level.

8. If the agency's process for identifying participants for executive development program(s) meets the above criteria, and if the development itself has been effectively carried out, the agency should find that it has a number of highly qualified candidates with proven executive capabilities to compete for executive vacancies.

9. In the Washington, D.C. metropolitan area, inquiries and requests for advice or assistance should be directed to:

Executive Personnel Technical Assistance Center (EPTAC)
Bureau of Executive Personnel
Room 6671
U.S. Civil Service Commission
Washington, D.C. 20415

Area code 202 632-4661

10. Field establishments should address requests for advice or
    assistance to the Commission's Regional Training Centers listed
    in Attachment 2 to this Letter.

Raymond Jacobson
Executive Director

Attachments (2)

IDENTIFICATION OF MANAGERIAL POSITIONS

1. A managerial position is one in which incumbents (1) direct the work
    of an organization, (2) are held accountable for the success of
    specific line or staff programs, (3) monitor the progress of the
    organization toward goals and periodically evaluate and make appro-
    priate adjustments, and (4) typically perform the full range of the
    following duties and responsibilities:

    a. Determine program goals and develop plans for the organization
        independently of or jointly with higher management;

    b. Determine resource needs and allocation of resources, and
        account for their effective use;

    c. Determine the need and develop plans for organizational changes
        which have considerable impact, such as those involving basic
        structure, operating costs, or key positions;

    d. Consider a broad spectrum of factors when making decisions (or
        recommendations to higher-level management) including public
        relations, Congressional relations, labor-management relations,
        public policy stances, effect on other organizations and other
        parts of the organization, economic impact, and the like;

    e. Coordinate program efforts with other internal activities or
        with the activities of other agencies;

    f. Assess the impact on organization programs of substantive
        developments in programs and policies in other parts of the
        agency, in other Government entities, and in the private sector;

    g. Set policy for the organization managed in such areas as deter-
        mining program emphases and operating guidelines; understand and
        communicate agency policies and priorities throughout the organi-
        zation managed;

    h. Deal with general personnel management policy matters affecting
        the organization managed, with personnel actions affecting key
        employees, or other actions with possible serious repercussions;
        and

    i. Delegate authority to subordinate supervisors and hold them
        responsible for the performance of their organizational units.

2.   While no specific guide or organizational level criteria would fit
every situation, the following guidelines may be applied in identify-
ing managerial positions:

   a.   The positions are usually at or above the GS-13 level (or
        equivalent). However in certain cases, particularly in the
        field, lower level positions may meet the above criteria.

   b.   Usually, a manager's organization is subdivided into two or
        more units led by subordinate supervisors, but there may be
        exceptions; and

   c.   "Deputy" positions are included when the responsibility for
        managing the total organization is divided between the manager
        and the deputy; or when the deputy serves as the alter ego and
        assists the manager in all phases of the organization's work.

3.   The above criteria are deliberately designed to be limited to posi-
     tions with responsibility for directing the work of an organiza-
     tional entity regardless of whether it is a "line" or a "staff"
     function. Thus, the head of a personnel, budget, or other adminis-
     trative organization who exercises the responsibilities described
     above is a manager along with heads of "line" operational programs.

4.   It is recognized that this definition excludes many positions which
     require a high degree of expertise in management subjects but which
     do not include responsibility for directing an organizational unit.
     Therefore, the definition excludes:

   a.   General staff assistants to managers;

   b.   Positions at the first or second supervisory levels that
        primarily involve the duties outlined in the Commission's
        Supervisory Grade-Evaluation Guide and Qualification Standard,
        as distinguished from managerial duties including positions
        with some but not the full range of managerial duties and
        responsibilities described above; and

   c.   Nonsupervisory positions with responsibility for technical
        guidance of work performed by contractors, grantees, or per-
        sonnel in other Government organizations.

U.S. CIVIL SERVICE COMMISSION

ATLANTA REGION
   Regional Training Center
   U.S. Civil Service Commission
   1340 Spring Street, N.W.
   Atlanta, Georgia 30309
   Area Code 404 257-3837

BOSTON REGION
   Regional Training Center
   U.S. Civil Service Commission
   Post Office and Courthouse
    Building
   Boston, Massachusetts 02109
   Area Code 617 223-2569

CHICAGO REGION
   Regional Training Center
   U.S. Civil Service Commission
   29th Floor---Federal Office
    Building
   230 South Dearborn Street
   Chicago, Illinois 60604
   Area Code 312 353-8688

DALLAS REGION
   Regional Training Center
   U.S. Civil Service Commission
   1100 Commerce Street
   Dallas, Texas 75202
   Area Code 214 749-7302

DENVER REGION
   Regional Training Center
   U.S. Civil Service Commission
   Denver Federal Center
   Building 20
   Denver, Colorado 80225
   Area Code 303 234-2304

NEW YORK REGION
   Regional Training Center
   U.S. Civil Service Commission
   Federal Building
   26 Federal Plaza
   New York, New York 10017
   Area Code 212 264-0460

PHILADELPHIA REGION
   Regional Training Center
   U.S. Civil Service Commission
   Federal Building
   600 Arch Street
   Philadelphia, Pennsylvania 19106
   Area Code 215 597-7837

SAN FRANCISCO REGION
   Regional Training Center
   U.S. Civil Service Commission
   120 Howard Street, 2nd Floor
   San Francisco, California 94105
   Area Code 415 556-5340

SEATTLE REGION
   Regional Training Center
   U.S. Civil Service Commission
   26th Floor---New Federal Building
   915 - 2nd Avenue
   Seattle, Washington, 98174
   Area Code 206 399-1719

ST. LOUIS REGION
   Regional Training Center
   U.S. Civil Service Commission
   1256 Federal Building
   1520 Market Street
   St. Louis, Missouri 63103
   Area Code 314 279-4274

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Executive Registry

15 November 1977

MEMORANDUM FOR: Comptroller

VIA : Acting DDCI

SUBJECT : Recommendation to the Director from
the Federal Women's Program Board

1. During its 9 November meeting with the Director, the Federal
Women's Program Board recommended that the EAG share with employees
its findings on the problem issues raised by the July 1976 Agency-wide
personnel survey. (See attached excerpt from [   ] 27 December
1976.)

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2. By 5 December please advise the Director if the above would
be feasible, and, if so, what channels could be used.

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Deputy Executive Secretary

Attachment:
    As stated

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